



#5

PATENT  
Docket No. ENDOV-55710

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT:

David T. Pollock et al.

SERIAL NO.: 09/837,353

FILED: April 17, 2001

TITLE: SINGLE-PIECE  
ENDOPROSTHESIS WITH HIGH  
EXPANSION RATIOS

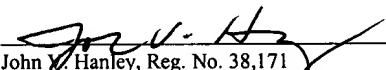
DATE: September 6, 2001

Examiner: TBD

Group Art No.: 3731

Certificate of Mailing Under 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Office of Initial Patent Examination, Commissioner for Patents, Washington, D.C. 20231 on September 6, 2001.

  
John V. Hanley, Reg. No. 38,171

**REQUEST FOR CORRECTED FILING RECEIPT**

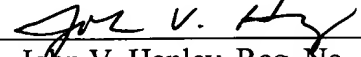
Commissioner for Patents  
Office of Initial Patent Examination  
Washington, D.C. 20231

Dear Sir:

Attached please find a copy of the Filing Receipt received in connection with the above-referenced application, with the correction noted thereon. It is hereby respectfully requested that a corrected receipt be issued.

Respectfully submitted,

FULWIDER PATTON LEE & UTECHT, LLP

By:   
John V. Hanley, Reg. No. 38,171

JVH:kst  
Enclosure  
Howard Hughes Center  
6060 Center Drive, Tenth Floor  
Los Angeles, California 90045  
Tel: (310) 824-5555  
Fax: (310) 824-9696  
#215451

RECEIVED  
APR 10 2002  
TC 3700 MAIL ROOM



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 09/837,353         | 04/17/2001  | 3731         | 960           | ENDOV-55710      | (14) 23  | 25         | 5          |

24201  
FULWIDER PATTON LEE & UTECHT, LLP  
HOWARD HUGHES CENTER  
6060 CENTER DRIVE  
TENTH FLOOR  
LOS ANGELES, CA 90045

**RECEIVED**  
BY DOCKETED DEPT.  
SEP 04 2001  
FULWIDER PATTON LEE & UTECHT, LLP  
LOS ANGELES

CONFIRMATION NO. 8883

## FILING RECEIPT



\*OC000000006496818\*

Date Mailed: 08/30/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

David T. Pollock, Residence Not Provided;  
Arnold M. Escano, Residence Not Provided;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/546,966 04/11/2000

## Foreign Applications

If Required, Foreign Filing License Granted 08/29/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Single-piece endoprosthesis with high expansion ratios

## Preliminary Class

RECEIVED  
APR 10 2002  
TC 3700 MAIL ROOM

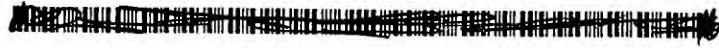
623

---

Data entry by : MILANI, JALEH

Team : OIPE

Date: 08/30/2001





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

RECEIVED  
APR 10 2002  
3700 MAIL ROOM



37C1

Receipt

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|  |                             |                               |             |
|--|-----------------------------|-------------------------------|-------------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | <b>Application Number</b>   | 09/837,353                    |             |
|  | <b>Filing Date</b>          | APRIL 17, 2001                |             |
|  | <b>First Named Inventor</b> | DAVID T. POLLOCK              |             |
|  | <b>Group Art Unit</b>       | 3731                          |             |
|  | <b>Examiner Name</b>        | TBD                           |             |
| <b>Total Number of Pages in This Submission</b>  | 5                           | <b>Attorney Docket Number</b> | ENDOV-55710 |

| ENCLOSURES (check all that apply)   |   |   |
|---|---|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>POSTCARD; REQUEST FOR CORRECTED FILING RECEIPT |
| <b>Remarks</b>  |   | <br>24201<br>PATENT TRADEMARK OFFICE  |

RECEIVED  
APR 10 2002  
C 3700 MAIL ROOM

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| <b>Firm or Individual name</b>             | JOHN V. HANLEY, FULWIDER PATTON LEE & UTECHT,--LLP |
| <b>Signature</b>                           |  |
| <b>Date</b>                                | SEPTEMBER 6, 2001                                  |

| CERTIFICATE OF MAILING  |                |             |          |
|---|----------------|-------------|----------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 9/6/2001 |                |             |          |
| <b>Typed or printed name</b>  | JOHN V. HANLEY |             |          |
| <b>Signature</b>  |                | <b>Date</b> | 9/6/2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.